

## Executive Branch Personnel

### Public Financial Disclosure Report (OGE Form 278e)

#### Filer's Information

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**Boyd, Charlton**

Special Assistant, Department of the Treasury

Date of Appointment: 06/25/2018

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

**/s/ Boyd, Charlton [electronically signed on 07/20/2018 by Boyd, Charlton in Integrity.gov] - Filer received a 14 day filing extension.**

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

**/s/ Horton, Elizabeth A, Certifying Official [electronically signed on 02/19/2019 by Horton, Elizabeth A in Integrity.gov]**

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Other review conducted by

**/s/ Adams, Laurie, Ethics Official [electronically signed on 10/11/2018 by Adams, Laurie in Integrity.gov]**

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U.S. Office of Government Ethics Certification

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Data Revised 02/06/2019

Data Revised 02/05/2019

Data Revised 12/17/2018

Data Revised 12/15/2018

Data Revised 12/14/2018

Data Revised 12/13/2018

Data Revised 10/11/2018

Data Revised 10/01/2018

Data Revised 09/24/2018

Data Revised 09/06/2018

Data Revised 08/27/2018

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## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Donald J. Trump for President	New York City, New York	Campaign	Finance Team Staffer	6/2016	1/2017
2	The City of New York	New York City, New York	City Government	Special Assistant, Councilmanic Aide	8/2017	3/2018
3	Boyd Family Practice	Bossier City, Louisiana	LLC	Office Clerk	1/2016	6/2018
4	Wagner College	Staten Island, New York	University/College	Student Government Executive Board	1/2016	5/2017
5	East Ridge Country Club	Shreveport, Louisiana	LLC	Tennis Coach	5/2017	8/2017

## 2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Donald J. Trump for President	N/A		Salary	\$1,577
2	The City of New York	N/A		Salary	\$6,149
3	Boyd Family Practice	N/A		Salary	\$12,975
4	East Ridge Country Club	N/A		Salary	\$2,126

### 3. Filer's Employment Agreements and Arrangements

None

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### 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	The City of New York	New York City, New York	Special Assistant/Councilmanic Aide
2	Boyd Family Practice	Bossier City, Louisiana	Office Clerk

### 5. Spouse's Employment Assets & Income and Retirement Accounts

None

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### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Realty Income Corp. common stock	No	\$1,001 - \$15,000		\$201 - \$1,000
2	Louisiana Catholic Federal Credit Union CD	No	None (or less than \$1,001)	Interest	None (or less than \$201)
3	Pacific Funds Portfolio Optimization Aggressive Fund Class C (POCEX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4	Boyd Capital LLC	See Endnote	No		
5	American Enterprise Investment Services INC	See Endnote	No		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	Logan Intl Div Adr	No			
6.1	Royal Dutch Shell PLC Sponsored ADR Repstg B (RDS/B)	No	\$1,001 - \$15,000	None (or less than \$201)	
6.2	Total S A Sponsored ADR (TOT)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
6.3	Astrazeneca PLC Sponsored ADR (AZN)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
6.4	BCE Inc New (BCE)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
6.5	British Amern Tobacco PLC Spons ADR 25P (BTI)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
6.6	Canadian Imperial Bank Commerce (CM)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
6.7	Glaxosmithkline PLC Sponsored ADR (GSK)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
6.8	Novartis AG Sponsored ADR (NVS)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
6.9	Sanofi Spon ADR (SNY)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
6.10	Unilever PLC Sponsored ADR New (UL)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
6.11	Vinci S A ADR (VCISY)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
6.12	Vodafone Group PLC New Sponsored ADR No Par (VOD)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
6.13	Dreyfuss Gen Govt Secs MMF Dreyfus Class 6167	See Endnote	Yes	None (or less than \$1,001)	None (or less than \$201)
7	Kayne AndersnSCG	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.1	AAON INC NEW (AAON)	No	\$1,001 - \$15,000		None (or less than \$201)
7.2	ANSYS INC (ANSS)	No	\$1,001 - \$15,000		None (or less than \$201)
7.3	Aspen Technology Inc (AZPN)	No	\$1,001 - \$15,000		None (or less than \$201)
7.4	Auto Trader Group PLC ADR (ATDRY)	No	\$1,001 - \$15,000		None (or less than \$201)
7.5	Autohome Inc Spons ADR REPSTG CL A (ATHM)	No	\$1,001 - \$15,000		None (or less than \$201)
7.6	Chefs Warehouse Inc (CHEF)	No	\$1,001 - \$15,000		None (or less than \$201)
7.7	Copart Inc (CPRT)	No	\$1,001 - \$15,000		None (or less than \$201)
7.8	Docusign Inc (DOCU)	No	\$1,001 - \$15,000		None (or less than \$201)
7.9	Factset Research Systems Inc (FDS)	No	\$1,001 - \$15,000		None (or less than \$201)
7.10	Fox Factory Hldg Corp (FOXF)	No	\$1,001 - \$15,000		None (or less than \$201)
7.11	HEICO Corp New CL A (HEI/A)	No	\$1,001 - \$15,000		None (or less than \$201)
7.12	Interactive Brokers GRP Inc (IBKR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.13	Moelis & Company CL A (MC)	No	\$1,001 - \$15,000		None (or less than \$201)
7.14	Morningstar Inc (MORN)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.15	NVE Corp New (NVEC)	No	\$1,001 - \$15,000		None (or less than \$201)
7.16	National Research Corp CL A (NRC)	No	\$1,001 - \$15,000		None (or less than \$201)
7.17	Old Dominion Freight Lines Inc (ODFL)	No	\$1,001 - \$15,000		None (or less than \$201)
7.18	Ollies Bargain Outlet Holdings Inc (OLLI)	No	\$1,001 - \$15,000		None (or less than \$201)
7.19	Omega Flex Inc (OFLX)	No	\$1,001 - \$15,000		None (or less than \$201)
7.20	Rightmove PLC ADR (RTMVY)	No	\$1,001 - \$15,000		None (or less than \$201)
7.21	US Physical Therapy Inc (USPH)	No	\$1,001 - \$15,000		None (or less than \$201)
7.22	Dreyfus Gen Govt Secs MMF Drefus Class 6167	See Endnote	Yes	None (or less than \$1,001)	None (or less than \$201)
8	ALTA LLC		No		
8.1	Chubb LTD (CB)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
8.2	Alphabet Inc CL A (GOOGL)		No	\$1,001 - \$15,000	None (or less than \$201)
8.3	Apple Inc (AAPL)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
8.4	Booking Holdings Inc (BKNG)		No	\$1,001 - \$15,000	None (or less than \$201)
8.5	CVS Health Corp (CVS)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
8.6	Walt Disney Co (DIS)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.7	Phillips 66 (PSX)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
8.8	Sherwin-Williams Co (SHW)		No	\$1,001 - \$15,000	None (or less than \$201)
8.9	Thermo Fisher Scientific (TMO)		No	\$1,001 - \$15,000	None (or less than \$201)
8.10	Union Pacific Corp (UNP)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
8.11	Wells Fargo & Co New (WFC)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
8.12	Dreyfus Gen Govt Secs MMF Dreyfus Class 6167	See Endnote	Yes	None (or less than \$1,001)	None (or less than \$201)
9	Lazard IA		No		
9.1	Accenture PLC Ireland Class A New (ACN)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
9.2	Medtronic PLV (MDT)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
9.3	British Amern tobacco PLC Spons ADR 25P (BTI)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
9.4	Novartis AG Sponsored ADR (NVS)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
9.5	Unilever PLC Sponsored ADR New (UL)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
9.6	Vinci S A ADR (VCISY)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
9.7	Dreyfus Gen Govt Secs MMF Dreyfus Class 6167	See Endnote	Yes	\$1,001 - \$15,000	None (or less than \$201)
10	Kayne Andersn RDNK SC		No		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.1	Core Laboratories NV (CLB)	No	\$1,001 - \$15,000		None (or less than \$201)
10.2	Badger Meter Inc (BMI)	No	\$1,001 - \$15,000		None (or less than \$201)
10.3	Cheesecake Factory Inc CAKE)	No	\$1,001 - \$15,000		None (or less than \$201)
10.4	MGM Growth Properties LLC CL A (MGP)	No	\$1,001 - \$15,000		None (or less than \$201)
10.5	National Beverage Corp (FIZZ)	No	\$1,001 - \$15,000		None (or less than \$201)
10.6	Primerica Inc (PRI)	No	\$1,001 - \$15,000		None (or less than \$201)
10.7	RBC Bearings Inc (ROLL)	No	\$1,001 - \$15,000		None (or less than \$201)
10.8	Scotts Miracle-gro co (SMG)	No	\$1,001 - \$15,000		None (or less than \$201)
10.9	Siteone Landscape Supply Inc (SITE)	No	\$1,001 - \$15,000		None (or less than \$201)
10.10	Dreyfus Gen Govt Secs MMF Dreyfus Class 6167	See Endnote	Yes	None (or less than \$1,001)	None (or less than \$201)
11	Nuveen ITM TM		No		
11.1	Hillsborough Cnty FL Solid WST & RES Recovery RFDG Rev Ser A (432342DJ9)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.2	New York ST Dorm Auth Rev Non St Support Debt Sch Dist Bd fing A (64990BH48)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.3	Mesa AZ Rfdg B/E (590485YF9)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.4	University TX Univ Rev RFDG Fing Sys Ser I B/E (91514AGE9)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.5	Greater Orlando Aviation Auth FL Arpt Priority Sub Ser A (392274V60)	N/A	\$1,001 - \$15,000	None (or less than \$201)	
11.6	Chicago IL Midway Arpt Rev 2nd Lien Rfdg Ser A (167562NQ6)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
11.7	Macon Bibb Cnty Ga Sales Tax DB (55553NAK0)	N/A	\$1,001 - \$15,000	None (or less than \$201)	
11.8	Sequoia CA Un High Sch Dist elect 2014 (817409J55)	N/A	\$1,001 - \$15,000	None (or less than \$201)	
11.9	Massachusetts St Dev Fin Agy Rev Sterling & Clark Art Inst (57584XB59)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
11.10	Maryland St Dpt Transn Cons Transn Rev (574204D67)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
11.11	California St Rfdg Various Purp (13063BRE4)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
11.12	Ohio St Wtr Dev Auth Pollutn Ctr Rev Ln Fd Ser A (67766WXW7)	N/A	\$1,001 - \$15,000	None (or less than \$201)	
11.13	India Hlth & Edl Fac Fing Auth Rev Ascension Health Sr Cr Grp Ser B (454795FE0)	N/A	\$1,001 - \$15,000	None (or less than \$201)	
11.14	California Hlth Facs Fing Auth Rev Rfdg Cedar Sinai Med Ctr B (13032UJX7)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
11.15	Ohio St Tpk Commn Rev Infra Pj Ser A (67760HLU3)	N/A	\$1,001 - \$15,000	None (or less than \$201)	
11.16	Dreyfus Gen Govt Secs MMF Dreyfus Class 6167	See Endnote	Yes	\$1,001 - \$15,000	None (or less than \$201)
12	Federated SV		No		
12.1	AT&T Inc (T)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
12.2	Altria Group Inc (MO)		No	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.3	Astrazeneca PLC Sponsored ADR (AZN)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
12.4	BCE Inc New (BCE)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
12.5	BP PLC Sponsored ADR (BP)		No	\$1,001 - \$15,000	None (or less than \$201)
12.6	British Amern Tobacco PLC Spns ADR 25P (BTI)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
12.7	Canadian Imperial Bank Commerce (CM)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
12.8	Chevron Corp (CVX)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
12.9	COCA-COLA Company (KO)		No	\$1,001 - \$15,000	None (or less than \$201)
12.10	Crown Castle Intl Corp New (CCI)		No	\$1,001 - \$15,000	None (or less than \$201)
12.11	Dominion Energy Inc (D)		No	\$1,001 - \$15,000	None (or less than \$201)
12.12	Duke Energy Corp New (DUK)		No	\$1,001 - \$15,000	None (or less than \$201)
12.13	Exxon Mobil Corp (XOM)		No	\$1,001 - \$15,000	None (or less than \$201)
12.14	Glaxosmithkline PLC Sponsored ADR (GSK)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
12.15	National Grid PLC Sponsored ADV New 2017 (NGG)		No	\$1,001 - \$15,000	None (or less than \$201)
12.16	Occidental Petroleum Corp (OXY)		No	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.17	PepsiCo Inc (PEP)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
12.18	Philip Morris International (PM)		No	\$1,001 - \$15,000	None (or less than \$201)
12.19	Sanofi Spon ADR (SNY)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
12.20	Total S A Sponsored ADR (TOT)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
12.21	Verizon Communications Inc (VZ)		No	\$1,001 - \$15,000	None (or less than \$201)
12.22	Vodafone Group PLC New Sponsored ADR No Par (VOD)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
12.23	Dreyfus Gen Govt Secs MMF Dreyfus Class 6167	See Endnote	Yes	\$1,001 - \$15,000	None (or less than \$201)
13	Santa Barbara DG		No		
13.1	Accenture PLC Ireland Class A New (ACN)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
13.2	Medtronic PLC (MDT)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
13.3	Chubb LTD (CB)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
13.4	AT&T Inc (T)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
13.5	Apple Inc (AAPL)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
13.6	Becton Dickinson & company (BDX)		No	\$1,001 - \$15,000	None (or less than \$201)
13.7	CVS Health Corp (CVS)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.8	Chevron Corp (CVX)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
13.9	Walt Disney Co (DIS)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
13.10	JP Morgan Chase & Co (JPM)		No	\$1,001 - \$15,000	None (or less than \$201)
13.11	Lowes Companies Inc (LOW)		No	\$1,001 - \$15,000	None (or less than \$201)
13.12	Microsoft Corp (MSFT)		No	\$1,001 - \$15,000	None (or less than \$201)
13.13	NextEra Energy Inc (NEE)		No	\$1,001 - \$15,000	None (or less than \$201)
13.14	PepsiCo Inc (PEP)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
13.15	Phillips 66 (PSX)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
13.16	Union Pacific Corp (UNP)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
13.17	Unitedhealth Group Inc (UNH)		No	\$1,001 - \$15,000	None (or less than \$201)
13.18	Wells Fargo & Co New (WFC)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
13.19	Dreyfus Gen Govt Secs MMF Dreyfus Class 616 <sup>7</sup>	See Endnote	Yes	None (or less than \$1,001)	None (or less than \$201)
14	Fidelity Total Market Index Premium CL (FSTVX)		Yes	\$1,001 - \$15,000	\$201 - \$1,000
15	Fidelity Advisor Emerging Markets CL 1 (FIMKX)		Yes	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	Goldman Sachs Large Cap Grw Insights Inv (GLCTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	JPMorgan Hedged Equity CL 1 (JHEQX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	Janus Henderson Enterprise CL 1 (JMGRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
19	Mainstay Mackay U S Equity Opptys CL 1 (MYCIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	Virtus KAR SMall Cap Sustainable Grw CL 1 (PXSGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
21	Wells Fargo Special Mid Cap Value Instl CL (WFMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
22	Exxon Mobil Corp (XOM)	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
23	Intel Corp (INTC)	No	\$15,001 - \$50,000		\$201 - \$1,000
24	Restaurant Brands Intl Inc (QSR)	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
25	Twitter Inc (TWTR)	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
26	Wendy's Company	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
27	Pacific Funds Prt Op Agg-Growth	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
28	Commercial Real Estate, Bossier City, LA	N/A	\$50,001 - \$100,000	Rent or Royalties	\$50,001 - \$100,000
29	Residential Real Estate, Shreveport, LA	N/A	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
30	Residential Real Estate, South Bend, IN	N/A	\$50,001 - \$100,000		None (or less than \$201)
31	Capitol One Bank Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
32	Wells Fargo CD	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
33	Wells Fargo CD	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
34	Family Trust	No			
34.1	New York Life, whole life	N/A	\$100,001 - \$250,000		None (or less than \$201)

## 7. Transactions

(N/A) - Not required for this type of report

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## 8. Liabilities

None

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## 9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

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## Endnotes

PART	#	ENDNOTE
6.	4	The underlying assets for Boyd Capital are nested under American Enterprise Investment Services, Inc. and listed under lines 5 through 13.
6.	5	The underlying assets for American Enterprise Investment Services, Inc. are listed under lines 6 through 13.
6.	6.2	Due to the additional holdings in the Federated SV account, the value of this security is between \$1,000 and \$15,000.
6.	6.3	Due to the additional holdings in the Federated SV account, the value of this security is between \$1,000 and \$15,000.
6.	6.4	Due to the additional holdings in the Federated SV account, the value of this security is between \$1,000 and \$15,000.
6.	6.5	Due to the additional holdings in the Lazard IA and Federated SV accounts, the value of this security is between \$1,000 and \$15,000.
6.	6.6	Due to the additional holdings in the Federated SV account, the value of this security is between \$1,000 and \$15,000.
6.	6.7	Due to the additional holdings in the Federated SV account, the value of this security is between \$1,000 and \$15,000.
6.	6.8	Due to the additional holdings in the Lazard IA account, the value of this security is between \$1,000 and \$15,000.
6.	6.9	Due to the additional holdings in the Federated SV account, the value of this security is between \$1,000 and \$15,000.
6.	6.10	Due to the additional holdings in the Lazrd IA account, the value of this security is between \$1,000 and \$15,000.
6.	6.11	Due to the additional holdings in the Lazard IA account, the value of this security is between \$1,000 and \$15,000.
6.	6.12	Due to the additional holdings in the Federated SV account, the value of this security is between \$1,000 and \$15,000.

PART	#	ENDNOTE
6.	6.13	Due to the additional deposits in the Kayne Andrsn SCG, Alta LCC, Lazard IA, Kayne Andrsn RDNK SC, Nuveen ITM Tm, Federated SV, and Santa Barbara DG accounts, the value of these deposits is between \$1,000 and \$15,000.
6.	7.22	Due to the additional deposits in the Logan INTL DIV ADR, ALTA LCC, Lazard IA, Kayne Andrsn RDNK SC, Nuveen ITM TM, Federated SV, and Santa Barbara DG accounts, the value of these deposits is between \$1,000 and \$15,000.
6.	8.1	Due to the additional holdings in the Santa Barbara DG account, the value of this security is between \$1,000 and \$15,000.
6.	8.3	Due to the additional holdings in the Santa Barbara DG account, the value of this security is between \$1,000 and \$15,000.
6.	8.5	Due to the additional holdings in the Santa Barbara DG account, the value of this security is between \$1,000 and \$15,000.
6.	8.6	Due to the additional holdings in the Santa Barbara DG account, the value of this security is between \$1,000 and \$15,000.
6.	8.7	Due to the additional holdings in the Santa Barbara DG account, the value of this security is between \$1,000 and \$15,000.
6.	8.10	Due to the additional holdings in the Santa Barbara DG account, the value of this security is between \$1,000 and \$15,000.
6.	8.11	Due to the additional holdings in the Santa Barbara DG account, the value of this security is between \$1,000 and \$15,000.
6.	8.12	Due to the additional deposits in the Logan INTL DIV ADR, Kayne Andrsn SCG, Lazard IA, Kayne Andrsn RDNK SC, Nuveen ITM TM, Federated SV, and Santa Barbara DG accounts, the value of these deposits is between \$1,000 and \$15,000.
6.	9.1	Due to the additional holdings in the Santa Barbara DG account, the value of this security is between \$1,000 and \$15,000.
6.	9.2	Due to the additional holdings in the Santa Barbara SG account, the value of this security is between \$1,000 and \$15,000.
6.	9.3	Due to the additional holdings in the Logan Intl Div ADR and Federated SV accounts, the value of this security is between \$1,000 and \$15,000.
6.	9.4	Due to the additional holdings in the Logan Int Div ADR account, the value of this security is between \$1,000 and \$15,000.

PART	#	ENDNOTE
6.	9.5	Due to the additional holdings in the Logan INT DIV ADR account, the value of this security is between \$1,000 and \$15,000.
6.	9.6	Due to the additional holdings in the Logan INTL DIV ADR account, the value of this security is between \$1,000 and \$15,000.
6.	9.7	Due to the additional deposits in the Logan INTL DIV ADR, Kayne Andrsn SCG, ALTA LCC, Kayne Andrsn RDNK SCG, Nuveen ITM TM, Federated SV, and Santa Barbara Dg accounts, the value of these deposits is between \$1,000 and \$15,000.
6.	10.10	Due to the additional deposits in the Logan INTL DIV LLC, Kayne Andrsn SCG, ALTA LCC, Lazard IA, Nuveen ITM TM, Federated SV, and Santa Barbara DG accounts, the value of these deposits is between \$1,000 and \$15,000.
6.	11.16	Due to the additional deposits in the Logan INTL DIV ADR, Kayne Andrsn SCG, Alta LCC, Lazard IA, Kayne Andrsn RDNK Sc, Federated SV, and Santa Barbara DG accounts, the value of these deposits is between \$1,000 and \$15,000.
6.	12.1	Due to the additional holdings in the Santa Barbara DG account, the value of this security is between \$1,000 and \$15,000.
6.	12.3	Due to the additional holdings in the Logan Intl Div ADR account, the value of this security is between \$1,000 and \$15,000
6.	12.4	Due to the additional holdings in the Logan Int Div ADR account, the value of this security is between \$1,000 and \$15,000.
6.	12.6	Due to the additional holdings in the Logan Intl Div ADR and Lazard IA accounts, the value of this security is between \$1,000 and \$15,000.
6.	12.7	Due to the additional holdings in the Logan Int Div ADR account, the value of this security is between \$1,000 and \$15,000.
6.	12.8	Due to the additional holdings in the Santa Barbara DG account, the value of this security is between \$1,000 and \$15,000.
6.	12.14	Due to the additional holdings in the Logan Int Div ADR account, the value of this security is between \$1,000 and \$15,000.
6.	12.17	Due to the additional holdings in the Santa Barbara DG account, the value of this security is between \$1,000 and \$15,000.
6.	12.19	Due to the additional holdings in the Logan Int Div ADR account, the value of this security is between \$1,000 and \$15,000.

PART	#	ENDNOTE
6.	12.20	Due to the additional holdings in the Logan Int Div ADR account, the value of this security is between \$1,000 and \$15,000.
6.	12.22	Due to the additional holdings in the Logan Int Div ADR account, the value of this security is between \$1,000 and \$15,000.
6.	12.23	Due to the additional deposits in the Logan Int Div ADR, Kayne Andrsn SCG, ALTA LCC, Lazard IA, Kayne Andrsn RDNK SC, Nuveen ITM TM, and Santa Barbara DG accounts, the value of these deposits is between \$1,000 and \$15,000.
6.	13.1	Due to the additional holdings in the Lazard IA account, the value of this security is between \$1,000 and \$15,000.
6.	13.2	Due to the additional holdings in the Lazard IA account, the value of this security is between \$1,000 and \$15,000.
6.	13.3	Due to the additional holdings in the ALTA LCC account, the value of this security is between \$1,000 and \$15,000.
6.	13.4	Due to the additional holdings in the Federated SV account, the value of this security is between \$1,000 and \$15,000.
6.	13.5	Due to the additional holdings in the ALTA LCC account, the value of this security is between \$1,000 and \$15,000.
6.	13.7	Due to the additional holdings in the ALTA LCC account, the value of this security is between \$1,000 and \$15,000.
6.	13.8	Due to the additional holdings in the Federated SV account, the value of this security is between \$1,000 and \$15,000.
6.	13.9	Due to the additional holdings in the ALTA LCC account, the value of this security is between \$1,000 and \$15,000.
6.	13.14	Due to the additional holdings in the Federated SV account, the value of this security is between \$1,000 and \$15,000.
6.	13.15	Due to the additional holdings in the ALTA LCC account, the value of this security is between \$1,000 and \$15,000.
6.	13.16	Due to the additional holdings in the ALTA LCC account, the value of this security is between \$1,000 and \$15,000.

PART	#	ENDNOTE
6.	13.18	Due to the additional holdings in the ALTA LCC account, the value of this security is between \$1,000 and \$15,000.
6.	13.19	Due to the additional deposits in the Logan Int Div ADR, Kayne Andrsn SCG, ALTA LCC, Lazard IA, Kayne Andrsn RDNK SC, Nuveen ITM TM, and Federated SV accounts, the value of these deposits is between \$1,000 and \$15,000.

# Summary of Contents

## 1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

## 2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

#### **4. Filer's Sources of Compensation Exceeding \$5,000 in a Year**

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

#### **5. Spouse's Employment Assets & Income and Retirement Accounts**

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

#### **6. Other Assets and Income**

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

#### **7. Transactions**

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## **8. Liabilities**

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## **9. Gifts and Travel Reimbursements**

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## **Privacy Act Statement**

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## **Public Burden Information**

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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